



Practitioner's Docket No. 442-010085-US(PAR)

PATENT

Receipt  
#6

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: HAVERINEN et al.

Serial No.: 09/756,346

Filed: 01/08/01

For: AUTHENTICATION IN A PACKET DATA NETWORK

Group No.:

Examiner:

Assistant Commissioner for Patents  
Washington, D.C. 20231

RECEIVED

JUL 26 2001

Technology Center 2100

REQUEST FOR CORRECTED FILING RECEIPT

1. Attached is a copy of the official filing receipt received from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested.

2. There is an error with respect to the following data, which is:

X Incorrectly entered

and/or

☐ Omitted.

Error in

Correct data

1. ☐ Applicant's name
2. ☐ Applicant's address
3. ☐ Title
4. ☐ Filing Date
5. ☐ Serial Number
6. X Foreign/PCT Re:
7. ☐ Other

- 1.
- 2.
- 3.
- 4.
- 5.
6. see page 2.
- 7.

CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. 1.8a)

I hereby certify that this correspondence is, on the date shown below, being:

MAILING

☒ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

FACSIMILE

☐ transmitted by facsimile to the Patent and Trademark Office

Date: 3/28/01

Deborah J. Clark  
Signature

DEBORAH J. CLARK

(type or print name of person certifying)  
(Request for Corrected Filing Receipt [5-8]-)

- X The Foreign Applications Priority Date is entered incorrectly. The correct information is as follows:

**FINLAND 20000760 filed March 31, 2000**

3. *(complete the following applicable item)*

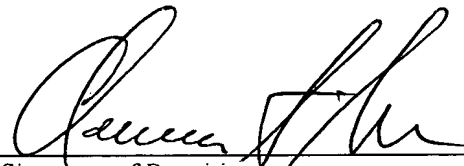
- A. The correction(s) is/are not due to any error by applicant and no fee is due.

**OR**

- B. X At least one of the above corrections is due to applicant's error and the fee therefor, under 37 C.F.R. 1.19(h), of \$25.00 is paid as follows:

X Enclosed is check for \$25.00

X Charge Account \_\_\_\_\_ 16-1350 \_\_\_\_\_ \$25.00



Signature of Practitioner

Reg. No.: 24,622

Clarence A. Green

*(type or print name of practitioner)*

Tel. No.: (203) 259-1800

PERMAN & GREEN, LLP

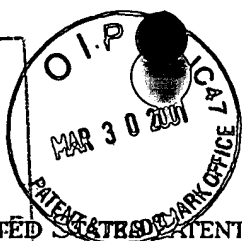
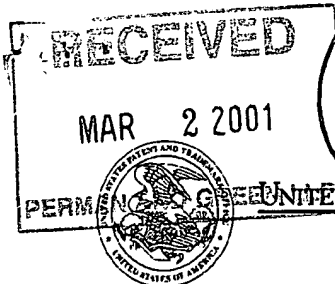
425 Post Road

P.O. Address

Customer No.: 2512

Fairfield, CT 06430

*(Request for Corrected Filing Receipt [5-8]-page 2 of 2)*



PERMAN & GREEN UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/756,346	01/08/2001	2131	1306	442 402-010085- US (PAR)	19	22	10

CONFIRMATION NO. 6669

2512  
PERMAN & GREEN  
425 POST ROAD  
FAIRFIELD, CT 06430

**FILING RECEIPT**



\*OC000000005803379\*

Date Mailed: 02/26/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

Henry Haverinen, Residence Not Provided;  
Jukka-Pekka Honkanen, Residence Not Provided;  
Antti Kuikka, Residence Not Provided;  
Nadarajah Asokan, Residence Not Provided;  
Patrik Flykt, Residence Not Provided;  
Juha Ala-Laurila, Residence Not Provided;  
Jyri Rinnemaa, Residence Not Provided;  
Timo Takamaki, Residence Not Provided;  
Raimo Vuonnala, Residence Not Provided;  
Jan-Erik Ekberg, Residence Not Provided;  
Tommi Mikkonen, Residence Not Provided;  
Petri Aalto, Residence Not Provided;  
Seppo Honkanen, Residence Not Provided;

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JUL 26 2001  
Technology Center 2100

**Assignment For Published Patent Application**

Nokia Corporation,;

**Continuing Data as Claimed by Applicant**

**Foreign Applications**

FINLAND 20000760 03/30/2000

If Required, Foreign Filing License Granted 02/23/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

**Title**

Authentication in a packet data network

**Preliminary Class**

380

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**Data entry by :** LE, THANH-LAN

**Team :** OIPE

**Date:** 02/26/2001



**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

**PLEASE NOTE the following information about the Filing Receipt:**

- o The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- o The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- o The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- o The docket number allows a maximum of 25 characters.
- o If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- o The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

**FILE COPY**

Bib Data Sheet

CONFIRMATION NO. 6669

<b>SERIAL NUMBER</b> 09/756,346	<b>FILING DATE</b> 01/08/2001 <b>RULE</b>	<b>CLASS</b> 380	<b>GROUP ART UNIT</b> 2131	<b>ATTORNEY DOCKET NO.</b> 442-010085-US (PAR)
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**APPLICANTS**

Henry Haverinen, Tampere, FINLAND;  
Jukka-Pekka Honkanen, Tampere, FINLAND;  
Antti Kuikka, Pirkkala, FINLAND;  
Nadarajah Asokan, Espoo, FINLAND;  
Patrik Flykt, Helsinki, FINLAND;  
Juha P Ala-Laurila, Tampere, FINLAND;  
Jyri Rinnemaa, Tampere, FINLAND;  
Timo H Takamaki, Tampere, FINLAND;  
Raimo Vuonnala, Espoo, FINLAND;  
Jan-Erik G Ekberg, Helsinki, FINLAND;  
Tommi Mikkonen, Tampere, FINLAND;  
Petri J Aalto, Pirkkala, FINLAND;  
Seppo Honkanen, Helsinki, FINLAND;

\*\* CONTINUING DATA \*\*\*\*\*

\*\* FOREIGN APPLICATIONS \*\*\*\*\*

FINLAND 20000760 03/31/2000

IF REQUIRED, FOREIGN FILING LICENSE GRANTED

\*\* 02/23/2001

Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no	<b>STATE OR COUNTRY</b> FINLAND	<b>SHEETS DRAWING</b> 19	<b>TOTAL CLAIMS</b> 22	<b>INDEPENDENT CLAIMS</b> 10
35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance				
Verified and Acknowledged Examiner's Signature _____ Initials _____				

**ADDRESS**

2512

**TITLE**

Authentication in a packet data network

<b>FILING FEE RECEIVED</b> 1436	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:	<input type="checkbox"/> All Fees
		<input type="checkbox"/> 1.16 Fees ( Filing )
		<input type="checkbox"/> 1.17 Fees ( Processing Ext. of time )
		<input type="checkbox"/> 1.18 Fees ( Issue )
		<input type="checkbox"/> Other _____

TS

Sector \$

#21

<b>Response To Notice To File Missing Parts Of Application</b> <b>Filing Date Granted (PTO-1533)(Large Entity)</b>	<b>Docket No.</b> <b>442-010085-US(PAR)</b>
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In Re Application Of: **HAVERINEN et al.**

<b>Serial No.</b> <b>09/756,346</b>	<b>Filing Date</b> <b>01/08/2001</b>	<b>Examiner</b>	<b>Group Art Unit</b>
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Invention: **AUTHENTICATION IN A PACKET DATA NETWORK**



TO THE ASSISTANT COMMISSIONER FOR PATENTS:  
Box Missing Parts

This is a response to the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533) mailed on 02/26/2001  
*Date*

Enclosed herewith for filing are the following:

- ☒ A copy of the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533). **(REQUIRED)**
- ☒ An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date.
- ☐ A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date.
- ☐ An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date.
- ☐ A verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the United States Patent and Trademark Office.
- ☒ Other (list):

**A substitute specification in compliance with 37CFR 1.52.**  
**Cover letter in response to correct informalities.**



Response To Notice To File Missing Parts Of Application  
Filing Date: Granted (PTO-1533)(Large Entity)

Docket No.  
442-010085-US(PAR)

In Re Application Of: HAVERINEN et al.

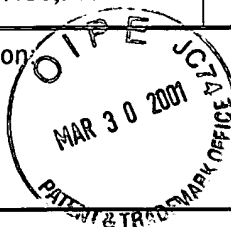
Serial No.  
09/756,346

Filing Date  
01/08/2001

Examiner

Group Art Unit

Invention:



AUTHENTICATION IN A PACKET DATA NETWORK

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Box Missing Parts

☒ Completion of application fees as calculated below:

☐ Utility application filing fee

☐ Design application filing fee

☐ Total number of independent claims = \_\_\_\_\_

☐ Total number of claims = \_\_\_\_\_

☐ Multiple dependent claims

☒ Surcharge for late payment of filing fee and/or late filing of original declaration or oath \$130.00

☐ Petition and fee for filing by other than all the inventors or a person not the inventor

☐ Fee for processing an application filed with a non-English language specification

☐ Fee for processing and retention of application

Total completion of application fees \$130.00

This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a response to the above-identified Notice to File Missing Parts of Application. The requested extension is as follows (check time period desired). If an additional time extension is required, please consider this a petition therefor.

☐ One month    ☐ Two months    ☐ Three months    ☐ Four months    ☐ Five months

from: \_\_\_\_\_ until: \_\_\_\_\_  
Date Date

Total time extension fees \_\_\_\_\_

Total fees due \$130.00

• Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533) (Large Entity)

Docket No.  
442-010085-US(PAR)

In Re Application Of: HAVERINEN et al.

Serial No.  
09/756,346

Filing Date  
01/08/2001

Examiner

Group Art Unit

Invention:

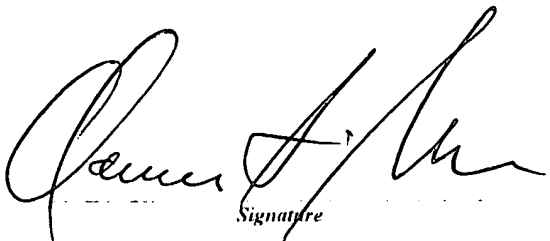
AUTHENTICATION IN A PACKET DATA NETWORK

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Box Missing Parts

The fee of \$130.00 is to be paid as follows:

- ☒ A check in the amount of the fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account No. 16-1350  
A duplicate copy of this sheet is enclosed.
- ☒ If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No. 16-1350  
A duplicate copy of this sheet is enclosed.

  
Signature

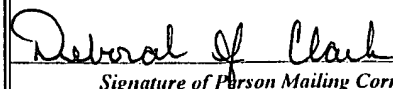
Dated: 28 March 01

Clarence A. Green, Reg. No.: 24,622  
203-259-1800

Customer No.: 2512

cc:

I certify that this document and fee is being deposited on  
28 March 2001 with the U.S. Postal Service as first  
class mail under 37 C.F.R. 1.8 and is addressed to the  
Assistant Commissioner for Patents, Washington, D.C.  
20231.

  
Signature of Person Mailing Correspondence

DEBORAH J. CLARK  
Typed or Printed Name of Person Mailing Correspondence

#14

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



In re Application of: HAVERINEN et al.

SERIAL NUMBER: 09/756,346

EXAMINER:

FILING DATE: 01/08/00

ART UNIT:

TITLE: AUTHENTICATION IN A PACKET DATA NETWORK

ATTORNEY DOCKET NO.: 442-010085-US(PAR)

Box Missing Parts

The Commissioner of Patents and Trademarks  
Washington, D.C. 20231

RESPONSE TO NOTICE MISSING PARTS OF APPLICATION

Dear Sir:

In response to the Notice to File Missing Parts of Application Papers dated 26 February 2001, enclosed herewith is the substitute specification (60 pages) in compliance with 37 CFR 1.52, wherein the application papers are presented in a form having sufficient clarity.

Respectfully submitted,

Clarence A. Green Reg. No.: 24,622  
PERMAN & GREEN, LLP  
425 Post Road, Fairfield, CT 06430  
(203) 259-1800  
Customer No.: 2512

25 March 01

DATE

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box Missing Parts, Commissioner of Patents and Trademarks, Washington, D.C. 20231.



3/28/01  
Date

Deborah J. Clark  
Name of Person Making Deposit

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MAR 2 2001



Page 1 of 2

HJP



AND GREEN LLP

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/756,346	01/08/2001	Henry Haverinen	402-010085-US (PAR) 442

CONFIRMATION NO. 6669

2512 *CA6*  
PERMAN & GREEN  
425 POST ROAD  
FAIRFIELD, CT 06430

US ACTION  
DUE DATE *4/26/01*  
PAPER DATED *2/26/01*  
OA \_\_\_\_\_ FINAL \_\_\_\_\_  
MSG PT ☒ DWG \_\_\_\_\_  
APPEAL \_\_\_\_\_ ISSUE FEE \_\_\_\_\_  
OTHER \_\_\_\_\_

## FORMALITIES LETTER



Date Mailed: 02/26/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- o The oath or declaration is missing.
- o To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- o The balance due by applicant is \$ 130.

The application is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given TWO MONTHS from the date of this Notice within which to correct the informalities indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- o A substitute specification in compliance with 37 CFR 1.52 because:
  - o The specification cannot be scanned or properly stored. Page(s)
  - o Papers must be legibly written either by a typewriter or mechanical printer in permanent ink or its equivalent in portrait orientation on flexible, strong, smooth, non-shiny, durable, and white paper. Application papers must be presented in a form having sufficient clarity and contrast between the paper and the writing thereon to permit the direct reproduction of readily legible copies in any number by use of photographic, electrostatic, photo-offset, and microfilming processes and electronic reproduction by use of digital imaging and optical character recognition. Pages 29 TO 35 are not in compliance

04/02/2001 SSESHE1 00000086 09756346

01 FC:105

130.00 DP

with 37 CFR 1.52(a).

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*A copy of this notice MUST be returned with the reply.*

  
\_\_\_\_\_  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE